

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant(s):** Jack O. Chu, et al.                      **Examiner:** Unassigned  
**Serial No:** To be assigned                      **Art Unit:** Unassigned  
**Filed:** Herewith                      **Docket:** YOR920010308US2 (16315A)  
**For:** EPITAXIAL AND POLYCRYSTALLINE                      **Dated:** February 10, 2004  
GROWTH OF  $\text{Si}_{1-x-y}\text{Ge}_x\text{C}_y$  AND  $\text{Si}_{1-y}\text{C}_y$   
ALLOY LAYERS ON Si BY UHV-CVD

Commissioner for Patents  
United States Patent Office  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R. §§ 1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. U.S. Patent No. 5,906,680 dated May 25, 1999 issued to Meyerson;
2. E. Kasper, et al. "Growth of 100 Ghz SiGe-Heterobipolar Transistor (HBT) Structures," Jpn J App Phys, Vol. 33 Pt. 1, No. 4B, April 1994, pp. 2415-2418;

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I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Commissioner for Patents and Trademarks, Alexandria, VA 22313-1450 on February 10, 2004.

Dated: February 10, 2004

  
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Leshe S. Szivos, Ph.D.


3. H.J. Osten et al. "in the paper entitled "Carbon Doped SiGe Heterojunction Bipolar Transistors for High Frequency Application," IEEE BCTM 7.1, 1999, pp. 109-116;
4. U.S. Patent No. 6,190,975 dated February 2001, issued to Kubo et al.;
5. U.S. Patent Publication No. 2001/0160605 dated October 2002, issued to Kanazawa et al.;
6. U.S. Patent No. 5,683,934 dated November 1997, issued to Candelaria et al.;
7. U.S. Patent Publication No. 2002/0016085 dated February 2002, issued to Huang et al.; and
8. U.S. Patent No. 6,306,211 dated October 2001, issued to Takahashi et al.

Pursuant to 37 C.F.R. §1.98 (d), copies of the references listed on the enclosed Form PTO-1449 are not provided since they were previously made record of in the parent application Serial No. 09/838,892 filed on April 20, 2001. References 1-3 were cited in the Information Disclosure Statement filed on September 9, 2002 and references 4-8 were cited by the Patent and Trademark Office in an Office Action dated December 12, 2003. Consideration of this Information Disclosure Statement is respectfully requested, since the information provided herewith may be material to the examination of the present application as defined under 37 C.F.R. § 1.56. This statement is not intended to represent that a search has been performed or that no other art than that identified herein exists.

The instant Information Disclosure Statement is being submitted concurrent with the filing of the present application. Therefore, this filing is made under 37 C.F.R. §

1.97(b)(1). An Information Disclosure Statement filed under 37 C.F.R. § 1.97(b)(1) requires neither certification nor fee.

Respectfully submitted,



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Enclosure      PTO Form 1449

Form PTO-1449 U.S. DEPARTMENT OF COMMERCE (REV. 7-80) PATENT AND TRADEMARK OFFICE  <b>LIST OF PRIOR ART CITED BY APPLICANT</b>  (Use several sheets if necessary)				<b>Atty. Docket No.</b> YOR920010308US2 (16315A)		<b>Serial No.</b> Unassigned	
				<b>Applicant</b> Jack O. Chu, et al.			
				<b>Filing Date</b> Herewith		<b>Group</b> Unassigned	

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (if appropriate)
	AA	5,906,680	5/25/1999	Meyerson			
	AB	6,190,975	2/2001	Kubo et al			
		2001/0160605	10/2002	Kanazawa et al.;			
		5,683,934	11/1997	Candelaria et al			
		2002/0016085	2/2002	Huang et al			
		6,306,211	10/2001	Takahashi et al.			

FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)	
	E. Kasper, et al. "Growth of 100 Ghz SiGe-Heterobipolar Transistor (HBT) Structures," Jpn J App Phys, Vol. 33 Pt. 1, No. 4B, April 1994, pp. 2415-2418;
	H.J. Osten et al. "in the paper entitled "Carbon Doped SiGe Heterojunction Bipolar Transistors for High Frequency Application," IEEE BCTM 7.1, 1999, pp. 109-116;

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.